

02-13-01

PTO/SB/05 .08-00)

Please type a plus sign (+) inside this box ☐

Approved for use through 10/31/2002 OMB 0651-0032

U S Patent and Trademark Office, U S DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

12-42-7

First Inventor

Erdogan

Title

In-Line Polarization Monitoring & Control In Lightwave Communication Systems

Express Mail Label No.

EF172633040 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17)
-
- (Submit an original and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
-
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 116**
-]
-
- (preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

- ☒
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 5**
-]

Oath or Declaration [Total Pages ☐

- a.
- ☐
- Newly executed (original or copy)
-
- b.
- ☐
- Copy from a prior application (37 CFR 1.63 (d))
-
- (for continuation/divisional with Box 17 completed)

- i.
- ☐
- DELETION OF INVENTOR(S)**
-
- Signed statement attached deleting inventor(s)
-
- named in the prior application, see 37 CFR
-
- 1.63(d)(2) and 1.33(b)

☐ Application Data Sheet. See 37 CFR 1.76

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or
-
- Computer Program (Appendix)
-
8. Nucleotide and/or Amino Acid Sequence Submission
-
- (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9.
- ☐
- Assignment Papers (cover sheet & document(s))
-
- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☐
- Power of Attorney
-
- (when there is an assignee)
-
- 11.
- ☐
- English Translation Document (if applicable)
-
- 12.
- ☐
- Information Disclosure Statement (IDS)/PTO-1449
- ☐
- Copies of IDS Citations
-
- 13.
- ☐
- Preliminary Amendment
-
- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
-
- (Should be specifically itemized)
-
- 15.
- ☐
- Certified Copy of Priority Document(s)
-
- (if foreign priority is claimed)
-
- 16.
- ☐
- Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, begin an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.

Prior application information:

Examiner

Group / Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

18. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Wendy W. Koba, Esq.
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Wendy W. Koba, Esq.

Registration No. (Attorney/Agent)

30509

Signature

Wendy W. Koba

Date

2/12/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Systems

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number

Filing Date

First Named Inventor

Examiner Name

Group Art Unit

Attorney Docket No.

Erdogan

12-42-7

TOTAL AMOUNT OF PAYMENT

(\$ 710.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit
Account
Number

12-2325

Deposit
Account
Name

Lucent Technologies, Inc.

☐ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$)

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

710.00

SUBTOTAL (1) (\$ 710.00

2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid

Total Claims 18 -20** = 0 X 0 = 0

Independent Claims 3 -3** = 0 X 0 = 0

Multiple Dependent 0 = 0

Large Entity Small Entity

Fee Fee Fee Fee Fee Description

Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 ** Reissue independent claims over original patent

110 18 210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Code (\$)

Fee Description

Fee Paid

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for ex parte reexamination

112 920* 112 920* Requesting publication of SIR prior to Examiner action

113 1,840* 113 1,840* Requesting publication of SIR after Examiner action

115 110 215 55 Extension for reply within first month

116 390 216 195 Extension for reply within second month

117 890 217 445 Extension for reply within third month

118 1,390 218 695 Extension for reply within fourth month

128 1,890 228 945 Extension for reply within fifth month

119 310 219 155 Notice of Appeal

120 310 220 155 Filing a brief in support of an appeal

121 270 221 135 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,240 241 620 Petition to revive - unintentional

142 1,240 242 620 Utility issue fee (or reissue)

143 440 243 220 Design issue fee

144 600 244 300 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 130 123 130 Petitions related to provisional applications

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per property (times number of properties)

146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))

149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))

179 710 279 355 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination of a design application

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

SUBMITTED BY

Name (Print/Type)

Wendy W. Koba Esq.

Registration No
(Attorney/Agent)

30509

Complete (if applicable)

Telephone

610-346-7112

Signature

Wendy W. Koba

Date

2/12/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

CASE Erdogan 12-42-7

TITLE In-Line Polarization Monitoring and Control
In Lightwave Communication Systems

THE COMMISSIONER OF PATENTS AND TRADEMARKS
WASHINGTON, D.C. 20231

SIR

Enclosed are the following papers related to the above-name application for patent:

Specification

5 Informal sheet (s) of drawings

~~1~~ Assignment To be recorded

~~Declaration and Power of Attorney~~

~~Associate Power of Attorney~~

~~Recordation Form Cover Sheet (2 copies)~~

CLAIMS AS FILED					
	No. Filed		No. Extra	Rate	Calculations
Total Claims	<u>18</u>	-20=	<u>0</u>	x \$18	<u>0</u>
Independent Claims	<u>3</u>	-3=	<u>0</u>	x \$80	<u>0</u>
Multiple Dependent, if applicable				x \$270	
BASIC FEE					\$710.00
TOTAL FEES					\$710.00

Please file the application and charge **Lucent Technologies, Inc. Deposit Account No. 12-2325** the amount of \$ 710.00 to cover the filing fee for this application. In the event of any non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 12-2325** as required to correct the error.

Please address all correspondence to Wendy W. Koba, P.O. Box 556, Springtown, PA 18081-0556. Telephone calls should be directed to Wendy W. Koba at 610-346-7112.

Respectfully,

Wendy W. Koba

Wendy W. Koba

Reg. No. 30509

Attorney for Applicant(s)

610-346-7112

Date: 2/12/01